**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/690,802
Filing Date	October 21, 2003
First Named Inventor	Yun He
Title	Oxindoles With Anti-Hiv Activity
Art Unit	1616
Examiner Name	N/A
Attorney Docket Number	021288-001910US
Clients' Ref. Nos.	P1081US10; 958.2/TSR0688

I hereby appoint:

☒ Practitioners associated with the Customer Number**20350**

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☐ Firm or  
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of 50% of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).**SIGNATURE of Applicant or Assignee of Record**

Name

Signature

Date

Telephone

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.



<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	<b>Application Number</b>	10/690,802
	<b>Filing Date</b>	October 21, 2003
	<b>First Named Inventor</b>	Yun He
	<b>Title</b>	Oxindoles With Anti-Hiv Activity
	<b>Art Unit</b>	1616
	<b>Examiner Name</b>	N/A
	<b>Attorney Docket Number</b>	021288-001910US
	<b>Clients' Ref. Nos.</b>	P1081US10; 958.2/TSR0688

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OR

☐ The address associated with Customer Number:

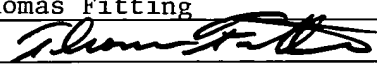
OR

<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of 50% of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

<b>SIGNATURE of Applicant or Assignee of Record</b>			
Name	Thomas Fitting		
Signature			
Date		Telephone	858-784-2937

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.



## POWER OF ATTORNEY

KNOW ALL PERSONS BY THESE PRESENTS:

That IRM LLC, a limited liability company organized under the laws of Delaware ("IRM"), does hereby make, constitute and appoint TIMOTHY L. SMITH, Reg. No. 35,367, of the GENOMICS INSTITUTE OF THE NOVARTIS RESEARCH FOUNDATION ("GNF"), dba the NOVARTIS INSTITUTE FOR FUNCTIONAL GENOMICS, Inc. ("NIFG"), 10675 John Jay Hopkins Drive, Suite E225, San Diego, CA 92121, its true and lawful attorney, for it and in its name, place and stead, with full power of substitution to represent and act for it in all matters pertaining to the filing and prosecution of patent applications in the United States and internationally, and in general to do all things and to perform on the part of IRM all acts as such attorney determines are necessary or advisable, including, without limitation, the appointment of attorneys to file and prosecute a patent application, signing a reply to an Office action, requesting a continued prosecution application, acquiescing to express abandonment of an application, signing of a terminal disclaimer, consenting to the filing of a reissue application, consenting to correction of inventorship, signing an issue fee transmittal, and signing all other documents, agreements, assignments, and instruments required, contemplated by or deemed advisable in connection with this Power of Attorney, and otherwise to act for and in the name of IRM and in its behalf with respect to the transactions described herein fully as if the duly authorized officers of IRM were then personally present and acting.

IRM hereby ratifies and confirms all that said attorneys or their substitutes shall lawfully do, or cause to be done, by virtue hereof.

IN WITNESS WHEREOF, IRM has caused this Power of Attorney to be signed by its officer thereunto duly authorized this 15 day of ~~March~~ *April*, 2003

IRM LLC

By: B. Aebischer J. Reinhardt

Name : B. Aebischer

J. Reinhardt

Title: Secretary

President



PTO/SB/96 (08-03)

Attorney Docket No. 021288-001910US  
Clients' Ref. Nos.: P1081US10; 958.2/TSR0688**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Yun He, et al.Application No./Patent No.: 10/690,802Filed/Issue Date: October 21, 2003Entitled: OXINDOLES WITH ANTI-HIV ACTIVITYIRM LLCa Delaware LLC

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Yun He, Tao Jiang, David Archer Ellis,  
Kelli L. Kuhen, Baogen Wu, Badry  
Bursulaya

To: IRM LLC

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: Tom Yao-Hsiang Wu

To: The Scripps Research Institute

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: Yun He, Tao Jiang, David Archer Ellis,  
Kelli L. Kuhen, Baogen Wu

To: IRM LLC

The document was recorded in the United States Patent and Trademark Office at  
Reel 013899, Frame 0320, or for which a copy thereof is attached.

4. From: Tom Yao-Hsiang Wu

To: The Scripps Research Institute

The document was recorded in the United States Patent and Trademark Office at  
Reel 013762, Frame 0619, or for which a copy thereof is attached.

- ☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

3/20/04

Date

858-812-1547

Telephone number

Timothy L. Smith

Typed or printed name

Tim L. Smith

Signature

General Power of Attorney (attached)

Title



PTO/SB/96 (08-03)

Attorney Docket No. 021288-001910US  
Clients' Ref. Nos.: P1081US10; 958.2/TSR0688**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Yun He, et al.Application No./Patent No.: 10/690,802Filed/Issue Date: October 21, 2003Entitled: OXINDOLES WITH ANTI-HIV ACTIVITYIRM LLCa Delaware LLC

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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Kelli L. Kuhen, Baogen Wu, Badry  
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To: IRM LLC

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: Tom Yao-Hsiang Wu

To: The Scripps Research Institute

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: Yun He, Tao Jiang, David Archer Ellis,  
Kelli L. Kuhen, Baogen Wu

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The document was recorded in the United States Patent and Trademark Office at  
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Reel 013762, Frame 0619, or for which a copy thereof is attached.

- ☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date

858-784-2937

Telephone number

Thomas Fitting

Typed or printed name

Signature

Chief Patent Counsel

Title

COPY

Attorney Docket No.: 021288-001910US  
Client Reference No.: P1081US10

**ASSIGNMENT OF PATENT APPLICATION**

JOINT

WHEREAS, Yun He of 10632 Senda Acuario, San Diego, CA 92130; Tao Jiang of 10721 Calle Mar De Mariposa, San Diego, CA 92130; Kelli L. Kuhen of 2343-1 Caringa Way, Carlsbad, CA 92009; David Archer Ellis of 6227 Caminito Carrena, San Diego, CA 92122; Baogen Wu of 3969 Nobel Dr., #278, San Diego, CA 92122; Badry Bursulaya of 4018 Nobel Dr., #301, San Diego, CA 92122 hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: OXINDOLES WITH ANTI-HIV ACTIVITY

Date(s) of execution of Declaration: 3/03/04, 2/10/04, 2/19/04, 2/16/04,  
2/12/04, and 3/03/04, respectively

Filing Date: October 21, 2003

Application No.: 10/690,802; and

WHEREAS, IRM LLC, a Delaware LLC, located at P.O. Box HM 2388, Hamilton HM LX, BERMUDA, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

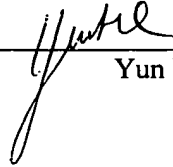
For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 3/3/04

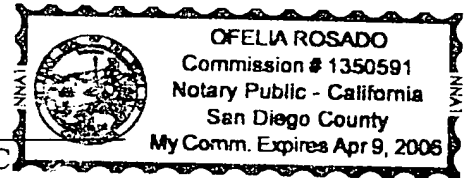
  
Yun He

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF                    )     ss.

On 3/3/04, before me, OFELIA ROSADO,  
personally appeared Yun He, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC



My Commission Expires: 4/6/09


Dated: 2/10/04

  
Tao Jiang

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF                    )     ss.

On February 10<sup>th</sup> 2003, before me, OFELIA ROSADO,  
personally appeared Tao Jiang, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 4/9/06



Dated: 02/19/04

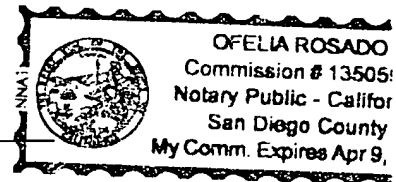
Kelli L. Kuhen  
Kelli L. Kuhen

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF                    )     ss.

On 2/19/04, before me, OFELIA ROSADO,  
personally appeared Kelli L. Kuhen, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Ofelia Rosado  
NOTARY PUBLIC



My Commission Expires: 4/9/06

Dated: 02/16/04

David Archer Ellis

David Archer Ellis

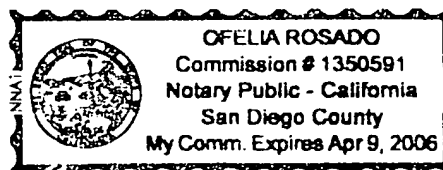
STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF                    )     ss.

On February 16<sup>th</sup>, 2004 before me, OFELIA ROSADO,  
personally appeared David Archer Ellis, personally known to me (or proved to me on the basis of  
satisfactory evidence) to be the person whose name is subscribed to the within instrument, and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

WITNESS my hand and official seal.

Ofelia Rosado  
NOTARY PUBLIC

My Commission Expires: 4/9/06





Dated: 02/12/04

Baogen Wu  
Baogen Wu

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF                    )     ss.

On February 12, 2004, before me, OFELIA ROSADO, personally appeared Baogen Wu, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Ofelia Rosado  
NOTARY PUBLIC



My Commission Expires: 4/9/06

Dated: 03/03/04

B. Bursulaya  
Badry Bursulaya

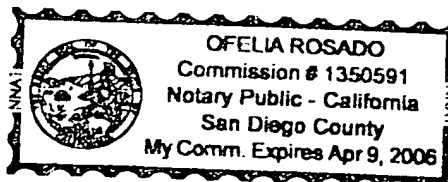
STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF                    )     ss.

On 3/3/04, before me, OFELIA ROSADO, personally appeared Badry Bursulaya, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Ofelia Rosado  
NOTARY PUBLIC

My Commission Expires: 4/8/06



**ASSIGNMENT OF PATENT APPLICATION**

**SOLE**

WHEREAS, Tom Yao-Hsiang Wu of 2575 Ardath Rd., La Jolla, CA 92037 hereinafter referred to as "Assignor," is the inventor of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention:       OXINDOLES WITH ANTI-HIV ACTIVITY

Date(s) of execution of Declaration:   March 2, 2004

Filing Date:               October 21, 2003

Application No.:         10/690,802; and

WHEREAS, The Scripps Research Institute, a private, non-profit, research organization, located at 10550 North Torrey Pines Road, La Jolla, CA, U.S.A., 92037, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

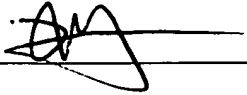
For good and valuable consideration, receipt of which is hereby acknowledged by Assignor, Assignor has assigned, and by these presents does assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignor had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignor further agrees that Assignor will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignor hereby authorizes and requests Townsend and Townsend and Crew LLP, Two Embarcadero Center, Eighth Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignor has signed his/her name on the date indicated.

Dated: 3/21/04

  
\_\_\_\_\_

STATE OF CALIFORNIA     )  
                                      )     ss.  
COUNTY OF                    )

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared Tom Yao-Hsiang Wu, personally known to me (or proved to me on the basis of  
satisfactory evidence) to be the person whose name is subscribed to the within instrument, and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

021288-001900US J

AUGUST 26, 2003

Deputy Under Secretary of Commerce For Intellectual Property and  
Deputy Director of the United States Patent and Trademark Office

Washington, DC 20231

www.uspto.gov

PTAS  
TOWNSEND & TOWNSEND AND CREW LLP  
JEFFRY S. MANN, PH.D.  
TOW EMBARCADEERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834



\*102407020A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/31/2003

REEL/FRAME: 013899/0320

NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HE, YUN

DOC DATE: 01/23/2003

ASSIGNOR:

JIANG, TAO

DOC DATE: 02/27/2003

ASSIGNOR:

ELLIS, DAVID ARCHER

DOC DATE: 02/26/2003

ASSIGNOR:

KUHEN, KELLI L.

DOC DATE: 02/26/2003

ASSIGNOR:

WU, BOAGEN

DOC DATE: 03/07/2003

ASSIGNEE:

IRM LLC

P.O. BOX HM 2388

HAMILTON HM LX, BERMUDA

013899/0320 PAGE 2

SERIAL NUMBER: 60420482  
PATENT NUMBER:

FILING DATE: 10/21/2002  
ISSUE DATE:

VIOLET MCCOY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

04-02-2003

Ticket No. 021288-001900US

Form PTO-1595

(Rev. 10-02)

OMB No. 0651-0027 (exp. 6/30/2005)

RECORD

P

U.S. Department of Commerce  
U.S. Patent and Trademark Office

Tab settings

102407020

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Yun He  
Tao Jiang  
David Archer Ellis  
Kelli L. Kuhen  
Baogen Wu

3-31-03

## 2. Name and address of receiving party(ies)

Name: IRM LLCStreet Address: P.O. Box HM 2388City: Hamilton HM LX Country: BERMUDAAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other: \_\_\_\_\_

Additional name(s) and address(es) attached? ☐ Yes ☒ NoExecution Date: 1/23/03, 2/27/03, 2/26/03, 2/26/03, and 3/7/03,  
respectively

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s): 60/420,482

B. Patent No(s): \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jeffry S. Mann, Ph.D.  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-02006. Total number of applications and patents involved 17. Total fee (37 CFR 3.41): \$40.00

- ☐ Enclosed
- ☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

04/01/2003 ECOOPER 00000027 201430 60420482

01 0:3021 40.00 CH

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Jeffry S. Mann, Ph.D.Name of Person Signing  
Atty. Reg. No. 42,837

Signature

March 25, 2003

Date

Total number of pages including cover sheet, attachments and document 5Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

OFFICE OF PUBLIC RECORDS  
2003 MAR 31 AM 10:56  
FINANCE SECTION

**ASSIGNMENT OF PROVISIONAL PATENT APPLICATION**

**JOINT**

WHEREAS, Yun He of 10632 Senda Acuario, San Diego, CA 92130; Tao Jiang of 10721 Calle Mar De Mariposa, San Diego, CA 92130; David Archer Ellis of 1631 State St. #2, San Diego, CA 92101; Kelli L. Kuhen of 2340 Carol View Dr., Apt. 107, Cardiff by the Sea, CA 92007; Baogen Wu of 7588 Charmant Dr., Apt. 1924, San Diego, CA 92122 hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified provisional patent application:

Title of Invention:       OXINDOLES HAVING ANTI-HIV ACTIVITY  
Filing Date:             October 21, 2002  
Application No.:         60/420,482; and

WHEREAS, IRM LLC, a Delaware LLC, located at P.O. Box HM 2388, Hamilton HM LX, BERMUDA, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on any patent application claiming priority from the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on any patent application claiming priority from the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

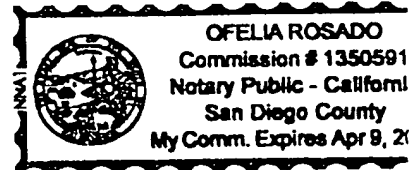
Dated: 1/23/03

*Yun He*  
Yun He

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF San Diego     )     SS.

On 1/23/03, before me, OFELIA ROSADO,  
personally appeared Yun He, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



*Ofelia Rosado*  
NOTARY PUBLIC

My Commission Expires: 4/9/06

Dated: 02/27/03

*Tao Jiang*  
Tao Jiang

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF San Diego     )     SS.

On 2/27/03, before me, OFELIA ROSADO,  
personally appeared Tao Jiang, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

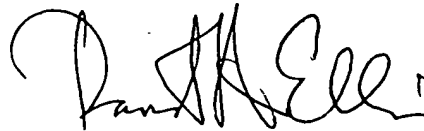
*Ofelia Rosado*  
NOTARY PUBLIC

My Commission Expires: 4/9/06





Dated: 2-24-03



David Archer Ellis

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF San Diego     )  
                                      )     SS.

On 2/26/03, before me, OFELIA ROSADO,  
personally appeared David Archer Ellis, personally known to me (or proved to me on the basis of  
satisfactory evidence) to be the person whose name is subscribed to the within instrument, and  
acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

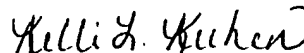
WITNESS my hand and official seal.



  
NOTARY PUBLIC

My Commission Expires: 4/9/06

Dated: 02.26.03



Kelli L. Kuhen

STATE OF CALIFORNIA     )  
                                      )  
COUNTY OF San Diego     )  
                                      )     SS.

On 2/26/03, before me, OFELIA ROSADO,  
personally appeared Kelli L. Kuhen, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 4/9/06

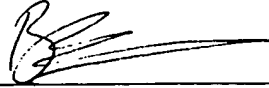


Assignment

Attorney Docket No.: 021288-001900US

Page 4

Dated: 03/07/2003



Baogen Wu

STATE OF CALIFORNIA )

ss.

COUNTY OF San Diego )

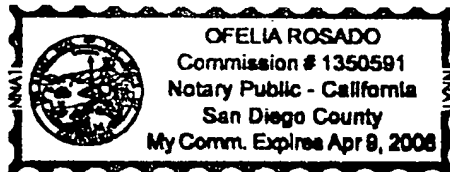
On March 7<sup>th</sup> 2003, before me, OFELIA ROSADO,  
personally appeared Baogen Wu, personally known to me (or proved to me on the basis of satisfactory  
evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me  
that he/she executed the same in his/her authorized capacity, and that by his/her signature on the  
instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

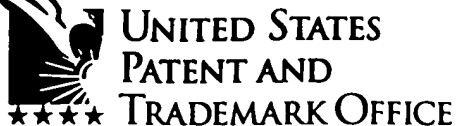
WITNESS my hand and official seal.

  
NOTARY PUBLIC

My Commission Expires: 4/9/06

SF 1418573 v1





021288-002300US JSM

JUNE 27, 2003

PTAS  
TOWNSEND AND TOWNSEND AND CREW LLP  
JEFFRY S. MANN  
TWO EMBARCADERO CENTER  
SAN FRANCISCO, CA 94111-3834

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
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\*102369485A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/19/2003

REEL/FRAME: 013762/0619  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WU, TOM YAO-HSIANG

DOC DATE: 01/30/2003

ASSIGNEE:

SCRIPPS RESEARCH INSTITUTE, THE  
10550 NORTH TORREY PINES ROAD  
LA JOLLA, CALIFORNIA 92037

SERIAL NUMBER: 60420481  
PATENT NUMBER:

FILING DATE: 10/21/2002  
ISSUE DATE:

JEEVON JONES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

02-21-2003

Attorney Docket No. 021288-002300US

Form PTO-1595

(Rev. 10-02)

OMB No. 0651-0027 (exp. 5/31/2002)



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eet

U.S. Department of Commerce  
U.S. Patent and Trademark Office

Tab settings ⇄⇄⇄ ▼

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Tom Yao-Hsiang Wu

2-19-03

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other: \_\_\_\_\_

Execution Date: January 30, 2003

## 2. Name and address of receiving party(ies)

Name: The Scripps Research InstituteStreet Address: 10550 North Torrey Pines RoadCity: La Jolla State: CA ZIP: 92037Additional name(s) and address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s): 60/420,481

B. Patent No(s): \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jeffry S. Mann, Ph.D.  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \_\_\_\_\_ \$40.00

- ☐ Enclosed
- ☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Jeffry S. Mann, Ph.D.

Name of Person Signing  
 Atty. Reg. No. 42,837

Signature

February 10, 2003  
 Date

Total number of pages including cover sheet, attachments and document 2

Mail documents to be recorded with required cover sheet information to:  
 Commissioner of Patents and Trademarks, Box Assignments  
 Washington, D.C. 20231

02/20/2003 ECOOPER 00000058 201430 60420481

01 FC:8021

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 FINANCIAL SECTION


# ASSIGNMENT

Serial No. 60/420,481

Filed October 21, 2002

In Consideration of One Dollar and other good and valuable considerations, the receipt of which is hereby acknowledged, the entire right, title and interest in the invention or improvements of the undersigned in ALKYLATED CYCLOPROPYL-OXINDOLES HAVING ANTI-HIV ACTIVITY and in the application for Letters Patent of the United States therefor, and in any reissue or extension of any letters Patent that may be granted upon said application are hereby assigned by the undersigned to THE SCRIPPS RESEARCH INSTITUTE, a public benefit, not-for-profit corporation of California, located at 10550 North Torrey Pines Road, La Jolla, USA 92037, and the heirs, successors, legal representatives and assigns of THE SCRIPPS RESEARCH INSTITUTE (herein collectively called said Assignee), and the Commissioner of Patents and Trademarks is hereby authorized and requested by the undersigned to issue said Letters Patent to said Assignee.

For said considerations it is hereby agreed by the undersigned, upon the request of said Assignee, to execute any necessary and proper oaths or affidavits relating to said application or required for the filing or prosecution of any divisional or continuing application thereof or for the filing or prosecution of any application for the reissue or extension of any Letters Patent that may be granted on said invention or improvements that said Assignee may deem necessary or expedient, and for said considerations it is further agreed by the undersigned, upon request of said Assignee, in the event of said application or any division thereof, or Letters Patent issued thereon, or any reissue or application for the reissue thereof, becomes involved in Interference, to cooperate to the best of the ability of the undersigned with said Assignee in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof, and further to perform, on such request, any and all affirmative acts to obtain said Letters Patent and vest all rights therein hereby conveyed in said Assignee as fully and entirely as the same would have been held and enjoyed by the undersigned if this Assignment and sale had not been made. And for said considerations the entire right, title and interest in said invention or improvements, including all priority rights, and the right to claim priority rights and the privileges and benefits thereof, including those under the International Convention, and all other Conventions, and the right to file applications for patent in said Assignee's own name for said invention or improvements in each and every country of the world are hereby assigned and granted by the undersigned to said Assignee. It is further agreed by the undersigned, upon the request of said Assignee, to execute any and all documents that shall be required of the undersigned to be executed in connection with any and all applications for foreign Letters Patent therefor, including the prosecution thereof, and to execute any and all documents necessary to invest title in said foreign applications and patents in said Assignee. The attorneys of record in said application for patent are hereby authorized and requested by the undersigned to insert in this Assignment the date and serial number thereof in the places provided therefor.

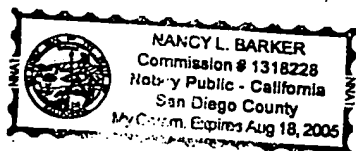
  
\_\_\_\_\_  
Tom Yao-Hsiang Wu (Seal)

State of California )  
County of San Diego ) ss

On January 30, 2003 before me, Nancy L. Barker, Notary Public  
personally appeared Tom Yao-Hsiang Wu

personally known to me - OR - ~~proved to me on the basis of satisfactory evidence~~ to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



Nancy L. Barker  
Notary Public  
My Commission Expires: 8/18/05